

September 15, 1999

Dear Colleague:

I am pleased to announce the FY 2000 Matching Grant Program funded through the Bureau for Humanitarian Response, Office of Private and Voluntary Cooperation (BHR/PVC). This grant program focuses on strengthening the technical and organizational capacity of U.S. Private and Voluntary Organizations (PVOs) and through them, strengthening partnerships with local organizations to achieve sustainable service delivery. Copies of the guidelines and application may be downloaded from USAID's website ([www.info.usaid.gov](http://www.info.usaid.gov)). Applications are due in to BHR/PVC by December 3, 1999.

The program purpose and scope, as well as the eligibility requirements and review process, are described in detail in the accompanying Guidelines. This year's Request for Applications (RFA) continues to build on PVC's Strategic Plan for 1996-2000, further detailing the plan's emphasis on partnership, sustainability and managing for results in order to reach our Strategic Objective: increased capability of PVC's PVO partners to achieve sustainable service delivery.

Once again this year, priority will be given to local partnership, sustainability and managing for results. This year's guidelines reflect PVC's continuing commitment to support the development of formal partnerships between U.S. PVOs and local NGOs, other community-based partners including local businesses, to strengthen their capacity. The Matching Grant Program is interested in the promotion of long-term sustainability of program benefits as well. The third element focuses on increasing the sectoral capacity of PVOs and their partners to track tangible results in USAID priority areas.

Finally, this year the Matching Grant program is placing additional emphasis and weight in the review process to the program foundation and design aspects of the application. Please take careful note of these changes in the RFA.

We again invite experienced PVOs which are seeking new avenues for capacity building to consider becoming a mentoring organization. The mentoring component between a small, nascent PVO and one that has received prior Matching Grant funding continues to be an important special consideration this year. Mentoring could range from information sharing, to technical assistance in systems development, to joint-venturing by means of a sub-agreement to the nascent organization.

I hope you will be able to attend PVC's two-day RFA workshop, September 27th and 28th, 1999. During the first day, we plan to discuss the combined progress of PVC and our PVO partners to achieve our strategic objective and to conduct a session for PVOs new to PVC's competitive grant programs in the morning. The afternoon will focus on the guidelines for the Matching Grant Program. Particular emphasis will be placed on introducing the Planning Matrix. Day two will feature the Child Survival Grant Program, and an update on Procurement Policies and Regulations.

BHR/PVC looks forward to reviewing many fine applications in FY 2000, and I personally look forward to the opportunity to collaborate with you as a partner in development.

Sincerely,

Joel Schlesinger  
Director  
Office of Private and Voluntary Cooperation  
Bureau for Humanitarian Response

**BUREAU FOR HUMANITARIAN RESPONSE  
OFFICE OF PRIVATE AND VOLUNTARY COOPERATION**

**MATCHING GRANT PROGRAM**

***FISCAL YEAR 2000  
GUIDELINES & APPLICATION***

**Issuance Date: September 15, 1999**

**Closing Date: December 3, 1999**

**Solicitation No.: M/OP-0-005**

**Web Address: [http://www.info.usaid.gov/ftp\\_data/pub/OP/RFA/OP0005](http://www.info.usaid.gov/ftp_data/pub/OP/RFA/OP0005)**

# BUREAU FOR HUMANITARIAN RESPONSE OFFICE OF PRIVATE AND VOLUNTARY COOPERATION MATCHING GRANT PROGRAM

## *FISCAL YEAR 2000 GUIDELINES & APPLICATION*

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## **LIST OF ACRONYMS**

BHR/PVC	Bureau for Humanitarian Response, Office of Private and Voluntary Cooperation
DIP	Detailed Implementation Plan
IR	Intermediate Result
LOP	Life of Project
NGO	Non-governmental Organization
OP	Office of Procurement
SO	Strategic Objective
TA	Technical Assistance

## **Part I**

### **FISCAL YEAR 2000 APPLICATION GUIDELINES**

#### **BUREAU FOR HUMANITARIAN RESPONSE OFFICE OF PRIVATE AND VOLUNTARY COOPERATION MATCHING GRANT PROGRAM**

##### **BACKGROUND AND OVERVIEW OF THE OFFICE OF PRIVATE AND VOLUNTARY COOPERATION**

USAID's Office of Private and Voluntary Cooperation (BHR/PVC) is the focal point for the Agency's partnership with U.S. Private Voluntary Organizations (PVOs) and Cooperative Development Organizations (CDOs). BHR/PVC's competitive grants programs provide direct support to U.S. PVOs and their local partners to address critical needs in developing countries and emerging democracies. These programs include: Matching Grants, Child Survival, Cooperative Development, Farmer-to-Farmer, Development Education, and Ocean Freight Reimbursement. BHR/PVC is responsible for registering U. S. PVOs for the Agency, and is a central contact point in USAID for information on PVO capabilities and programs. The Office is also a key actor in the development of Agency policies and procedures that affect these U.S. organizations.

##### **PVC's Strategic Plan**

Each USAID operating unit is guided by its own Strategic Plan that in turn contributes to the Agency's sustainable development goals. BHR/PVC's Strategic Plan outlines its program directions and provides a framework for all the grants programs funded and administered by the Office. It articulates the specific approaches and performance indicators that will guide the Office's work through the year 2002. Given its importance, all prospective applicants are urged to familiarize themselves with PVC's Strategic Plan prior to preparing their application. To download the PVC's Strategic Plan, please refer to PVC's homepage at [http://www.info.usaid.gov/hum\\_response/pvc/pvcpubs.html](http://www.info.usaid.gov/hum_response/pvc/pvcpubs.html).

##### **Measuring and Reporting on the Results of PVC's Grants Programs**

PVC's competitive grants programs are the main mechanisms for PVC to implement its strategy, and therefore, it is critical for PVC to be able to demonstrate solid and convincing results from its grant programs. The Office judges its success in achieving the objectives of its Strategic Plan by reporting annually on key performance indicators, related to its strategic objective and intermediate results. The impact, or results, achieved by the PVOs in the various grants programs are consolidated by PVC and reported in an annual Results Report. This information is the foundation for the Office budget request and is incorporated into USAID's annual Results Report to Congress. For highlights from this year's Results Report, please refer to PVC's homepage listed above.

## **Strategic Priorities for 2000**

Given the importance of PVO grants to the achievement of the objectives of PVC's Strategic Plan, all applicants this year are asked to give particular attention to describing how their proposed program will contribute to PVC's Strategic Objective and five Intermediate Results.

In addition, based on PVC's experience over the last several years, this year's RFA again places particular emphasis on the following priority areas:

**Capacity Building for NGOs and Other Local Organizations:** Strong emphasis is placed on strengthening the organizational capacity of local partners, e.g., NGOs, local business, local government, etc., through the grants programs, and on establishing clear capacity building objectives. Applicants to the Matching Grant Program are also asked what skills they need to develop in order to carry out capacity building activities more effectively, and how the proposed program will help them do so. Successful applicants generally involve their local partner(s) at the start of their proposal development process. In addition, they are expected to establish a formal agreement with their local partner(s), and to develop a plan to measure changes in their partner's organizational capacity after the grant is awarded.

**Sustainability:** Strong emphasis is placed on promoting the long-term sustainability of program related activities or benefits. PVC encourages all applicants to be as specific as possible in defining their approach toward sustainability, articulating a clear sustainability plan, and in defining how sustainability will be measured. Particular emphasis will be placed this year on financial sustainability, including creative approaches to resource mobilization.

**Managing for Results and Performance Reporting:** Strong emphasis is placed on well-designed programs with a concise, manageable set of objectives that accurately reflect the results and impact that the program seeks to achieve, and a clear set of indicators to measure program performance. Please note the applicant must complete a Planning Matrix. All applicants are urged to develop a clear and complete monitoring and evaluation plan for their proposed program.

Copies of CDIE's *Performance Monitoring and Evaluation TIPS* are attached to this application. Copies of *PVC's Strategic Plan* and *FY 1998 and FY 1999 Results Review* may be downloaded from the USAID homepage at [www.info.usaid.gov](http://www.info.usaid.gov).

## **Section B. PREPARATION AND SUBMISSION OF APPLICATION**

### **1. SUBMISSION TO BHR/PVC**

All requests for Matching Grant funding for FY 2000 must be made by completing the accompanying application. A single-sided original and two (2) bound, double-sided copies of the application (each with a complete set of the required attachments) are to be submitted to BHR/PVC by December 3, 1999. The original should be "photo-ready," i.e., printed on one side only and unbound. Applicants are also required to submit a copy of their proposal plus all attachments on a small diskette (3 ½") formatted for Word 97 (for text) or Excel (for spreadsheet attachments) for Windows. All attachments and/or supplemental documents (such as letters of commitment) must be submitted in English or with an English translation.

The preferred method of distribution of USAID procurement information is via the Internet. This RFA can be downloaded from the Agency web site. The worldwide web address is <http://www.info.usaid.gov>. Select "Business and Procurements" from the home page, then "USAID Procurements". On the following screen, select "Download Available USAID Solicitations". The RFA can also be downloaded via "Anonymous File Transfer Protocol (FTP)". The FTP address is FTP.INFO.USAID.GOV. Log on using the user identification of "anonymous" and the password is your e-mail address. Receipt of this RFA through the internet must be confirmed by written notification to the contact person noted below. It is the responsibility of the recipient of this solicitation document to ensure that it has been received from the internet in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

#### ***APPLICATIONS SHOULD BE SENT TO:***

##### ***By Mail:***

Martin Hewitt  
Acting Chief  
Matching Grant Program  
USAID/BHR/PVC  
1300 Pennsylvania Avenue, NW 7.6D  
Washington, DC 20523-7600

##### ***By Courier/Fed Express:***

Matching Grant Program  
Attn: Martin Hewitt, Acting Chief  
USAID/BHR/PVC  
Room 7.6D  
Ronald Reagan Building  
1300 Pennsylvania Avenue, NW  
Washington, DC 20523-7600

### **2. SUBMISSION TO USAID MISSIONS**

The Matching Grant Review Committee (MGRC) will evaluate the eligible applications in consultation with USAID field Missions, technical reviewers, USAID Regional Bureaus, and other USAID offices with related interests and expertise. PVC will distribute copies of each application to all reviewers, with the exception of the USAID Missions. It will be the PVO's responsibility to send copies of its Matching Grant Application to USAID Missions in



each country where activities are being proposed. The applications must be received by the Missions no later than December 10, 1999. It is highly recommended that applications be sent by DHL or international express mail to the local address for the USAID Mission. Appendix C is a list of mailing addresses for the USAID Missions. Note that the mailing addresses are subject to change. To assure that an address is current, it is advisable to contact the PVO Liaison Officer in the appropriate Regional Bureau in USAID/Washington. A list of Regional Bureau contacts is also provided in Appendix B.

To expedite the proper channeling and review of the application at the USAID Mission, a copy of the application cover sheet, provided as Appendix D of these guidelines, should be fixed securely to your application. You are also strongly encouraged to verify receipt of the application at the Mission since funding of program activities requires Mission approval.

## **USAID CONTACT**

Any subsequent questions concerning these guidelines or the grant program, in general, should be referred to your PVC project officer or to Martin Hewitt, Acting Chief of the Matching Grant Program, at the general information number (703) 741-0565, or Mary Liakos at [mdliakos@aol.com](mailto:mdliakos@aol.com). E-mail inquiries may be directed to the address above and written inquiries may be sent to the addresses in Section B.1 (Submission to BHR/PVC).

## **Section C. PROGRAM OBJECTIVES**

PVOs are awarded Matching Grants based on their demonstrated capability to implement successful sustainable development programs. The focus of this grant program is to support institutional strengthening of U.S. PVO headquarters and field programs while furthering the development goals and objectives of USAID.

The four major objectives of the Matching Grant Program are:

- ☐ to expand and strengthen the field programs of U.S. PVOs in order to increase prospects for sustainability and results in program areas that are consistent with USAID policies and priorities;
- ☐ to assist U.S. PVOs to further enhance their planning systems, management systems and technical competencies to carry out development programs;
- ☐ to build the capacity of local non-governmental organizations (NGOs), governmental and community-based organizations (CBOs), and/or for-profit enterprises through formalized partnership agreements with U.S. PVOs; and
- ☐ to increase U.S. private resources directed to development assistance by matching private contributions on a dollar-for-dollar basis through a combined public and private partnership.

## Section D. ELIGIBILITY CRITERIA

### 1. Eligibility:

To be eligible for a PVC Matching Grant, an organization must:

- a. Be a U.S. PVO registered with USAID;
- b. Receive at least 20% of its total annual financial support for its international programs from non-U.S. government sources (or fall within Congressionally-mandated guidelines);
- c. Have an established track record (minimum of 3 years) in planning, managing, monitoring and evaluating overseas development programs,
- d. Have completed an external programmatic evaluation (not to be confused with a financial audit) of its field activities within the last three years prior to application submission; and
- e. Provide at least a 50% U.S. dollar cash match for the proposed program.

All applications will be reviewed for eligibility against the criteria above and for conformity and consistency with the specifications outlined in these guidelines and the attached application form. **Applications that are incomplete, not in correct format, and/or do not respond to all of the questions in the application may not be considered in this review process.**

### 2. Requirements: All proposed programs must:

- a. contribute to the BHR/PVC Strategic Objective of "increased capability of PVC's PVO partners to achieve sustainable service delivery;"
- b. be a cohesive part of the overall PVO strategy yet be distinct and measurable for results in their own right;
- c. engage USAID Mission in appropriateness of proposed program for a minimum of two countries and a maximum of six. (A list of countries eligible for Matching Grant assistance is attached as Appendix A);
- d. be consistent with targeted host country development priorities and policies;

- e. focus resources on the management and support of PVO field programs;
- f. be consistent with USAID country-specific program objectives;
- g. be consistent with USAID goals (refer to USAID website); applications are especially encouraged in broad-based economic growth, environment, population and health, and/or democratic pluralism;
- h. be for periods of either three or five years (NOTE: PVOs that have had no previous grant relationship with PVC will be limited to a grant period of three years); and
- i. establish formal partnership agreements that strengthen local institutional capacity with NGOs, CBOs, local governments, or local businesses to design and implement sustainable development projects.

**3. Matching Grant Program Priorities:** Priority will be given to programs that:

- a. are consistent with BHR/PVC's and the PVO's long-term strategic goals and objectives, which result in the PVO's organizational growth to better address overseas development problems;
- b. demonstrate strong prospects for sustainability of benefits after Matching Grants program funding is terminated;
- c. provide institutional capacity-building to local partner organizations; and
- d. target two or more USAID geographic regions (except where the PVO is limited by mandate to a single region).

**4. Special Consideration:**

PVC is interested in providing PVOs new to the Matching Grant Program with the opportunity to participate through partnerships with PVOs experienced in the program. Organizations that have successfully implemented a prior matching grant will receive special consideration for including a mentoring component with a small, nascent U.S. PVO working in complementary program areas. This is intended to provide a vehicle for these organizations to gain experience without the full burden of program management. Detailed information should be provided on the roles and responsibilities of each organization. (See Mentoring Section in the Application.)

**5. Restrictions:** The grants will not finance programs that are:

- academic or basic research oriented;
- for construction or commodity procurement;
- non-developmental in nature, such as emergency relief activities; and
- sectarian or politically partisan.

## **Section E. REVIEW PROCEDURES**

### **1. Review Process:**

All applications which meet the eligibility and program requirements and conform to instructions in the RFA will be reviewed and scored by a panel of USAID and independent technical reviewers. This Matching Grant Review Committee will consist of appropriate staff from the Matching Grants Division, other BHR/PVC staff, representatives from BHR's Program, Planning and Evaluation, USAID's Global Bureau, and the Regional Bureaus. Matching Grants distributes copies of each application to all reviewers. Applicants are responsible for providing a copy of the application directly to the relevant USAID Missions being proposed.

USAID Missions will review applications according to criteria provided by the Matching Grants Division and send the review and comments directly to the chief of the Matching Grants Program. The Mission's review is a critical consideration in funding decisions. Please note: To ensure that your application adequately supports achievement of USAID Mission objectives, referred to in Part I, Section D.2.g., above, applicants are asked to fully discuss their ideas and planned programs with the USAID program officer and/or cognizant technical officer in the targeted country prior to submission of an application. Evidence of this ongoing dialogue is requested in the Matching Grant Application, Part II, Section D, question 24. Addresses for each Mission may be found in Appendix D of these Application Guidelines.

The budget narrative in all applications under consideration for award will be reviewed for what are necessary and reasonable costs to support the program.

The Matching Grants Review Committee will use a scoring worksheet and rate each proposal based on the inputs from the Matching Grants project officers, independent technical reviewers, USAID Mission responses, and the criteria below in Section E.2.

USAID may find it necessary to conduct a pre-grant award survey of the PVO's fiscal and management systems and/or to determine an appropriate overhead rate.

The Matching Grant review process will take 4-5 months to allow time for all USAID input to be assembled, conduct a full review of the proposals, and receive authorization for funding. The entire grant review and approval process, from submission of the application to formal cooperative agreement execution, should be completed within ten months.

## **2. Application Review Criteria:**

The applications will be reviewed against PVC and Matching Grant priorities and scored against the criteria listed below. Competitive applications must have clearly stated objectives and indicators for how the institutional capacity of the PVO and its local partners will be developed under this program and how sustainability (financial and operational) will be achieved. In addition, with USAID's emphasis on managing for results, it is very important that the proposed program demonstrate how program results and impact will be documented. The application will be rated against criteria organized under the following six headings:

### **a. History of organization: (5%)**

- Relationship of proposed program to broader strategies and applicant's goals.
- Sectoral commitment and evolution.

### **b. Program Foundation: (20%)**

- Clarity of the problem statement -- data and analysis that support the rationale for the proposed program.
- Soundness of the discussion of constraints, challenges, and options for addressing the problem(s).
- Feasibility and innovation of the strategy proposed for addressing the problems.
- Responsiveness and congruence with USAID and Matching Grant Program priorities.
- Logic of country selection.

### **c. Program Design (20%)**

- Logic and soundness of the Planning Matrix, i.e., clear results-oriented objectives and indicators for capacity building and intervention-specific strategies.
- Soundness of the technical approach and the capacity building strategy.
- Overall approach to documenting program results and achievements.

### **d. Country-specific Program activities: (30%)**

- Familiarity with the socio-economic and cultural context in the countries proposed.
- Programmatic and technical soundness of the proposed interventions and activities.
- If training is a major component of the project -- soundness of the training strategy and plans for measuring effectiveness of the training strategy.
- Logical plan for developing the capacity of local partners.

- Soundness of the sustainability strategy for strengthening the operational and financial sustainability of field aspects of the program.
- Sound approach to monitoring program implementation and measuring program achievements.
- Evidence of Mission support and coordination/integration with other USAID activities. Prior experience with USAID activities (if applicable).
- Practical approach to addressing gender issues.

**e. Program Management: ( 25% )**

- PVO's technical expertise and past experience in implementing programs.
- Practical implementation plan, including management structure, staffing pattern and staff qualifications for implementing the project.
- Evidence that the PVO has adequate management systems in place to support the project.
- Soundness of the strategy to strengthen the PVO's organizational and technical capacity in a sustainable manner.
- Financial status of PVO.
- Comprehensive and appropriate budget.

**Section F. FINANCIAL GUIDELINES:**

The final amount of PVC funding for FY 2000 is not yet finalized. However, we anticipate that the pool of funds available to finance the initial year of new programs to be in the range of \$2,500,000 to \$4,500,000.

All centrally-funded PVC Matching Grants are cost-shared between USAID and the PVO, with PVC support not to exceed 50% of the estimated total cash costs of the program. Private matching funds are limited to U.S. dollars received or earned and recorded in the financial accounts of the recipient PVO. The match must be cash. In-kind contributions based on USAID 22 CFR may be applied above and beyond the 50% cash match.

Funds received by the PVO directly from the U.S. Government or USAID intermediaries are not allowable elements of the match but should be identified as sources in the overall budget if they are critical to the program.

Applications should identify all critical sources of support for the program, including private and public cash receipts recorded in the PVO's accounts and in-kind contributions of goods and services and other contributions not recorded in the PVO's accounts but directly supporting its grant program activities.

Criteria for acceptance and allowability for the non-federal contributions are set forth in USAID 22 CFR 226. (Copies of 22 CFR 226 may be obtained through the Government Printing Office, Washington, D.C. 20401 or from internet address [www.info.usaid.gov/pubs/ads/cfr22](http://www.info.usaid.gov/pubs/ads/cfr22).)

**USAID reserves the right to fund, in whole or in part, any or none of the applications submitted in response to this announcement.**

## **Section G. NEGOTIATION AND AWARD**

Authority to Obligate on Behalf of the Government - Final awards will be made by the Agreement Officer. No costs chargeable to the proposed Cooperative Agreement may be incurred before receipt of either a fully executed Cooperative Agreement or a specific, written authorization from the Agreement Officer. The award will be administered in accordance with 22 CFR Part 226, OMB Circulars and USAID Standard Provisions.

If recommended for an award, it is the responsibility of the Agreement Officer to make a responsibility determination regarding your organization. Budget negotiations will be conducted using OMB Cost Principles and other USAID Standards that may apply, entailing a breakdown of each line item, and commit to writing all understandings between USAID and the Recipient. The Agreement Officer may request from prospective Recipients additional information regarding the budget figures.

### **Substantial Involvement:**

PVC will be substantially involved during the period of the Cooperative Agreement and will provide guidance and/or approval on the following:

- a) Selection of key personnel.
- b) Detailed Implementation Plans (DIPs): Successful applicants will be required to prepare and submit, to the Matching Grant Project Officer, a detailed implementation plan within six months of the award.
- c) Annual Workplans: On a yearly basis and with approval from the Matching Grants Project Officer, successful applicants will be required to submit an annual workplan as well as an annual report. The Project Officer may, if necessary and with Mission concurrence, also authorize implementation of activities in countries other than those indicated in the program description.
- d) Monitoring and Evaluation: USAID will be involved in monitoring progress toward the achievement of program objectives during the Cooperative Agreement. This includes written guidelines for midterm and final evaluations developed by the Matching Grant Program, in accordance with ADS 303.5.11.a.3.
- e) Collaborative involvement where appropriate in the selection or participation on advisory committees.

## APPENDIX A

### ELIGIBLE COUNTRY LIST\*\*\*\*\*

<u>AFRICA</u>	<u>ASIA</u>	<u>LATIN AMERICA/ CARIBBEAN</u>
* Angola	Bangladesh	Bolivia
Benin	*** Burma	Brazil
*** Burkina Faso	Cambodia	Dominican Republic
* Democratic Republic of the Congo (Zaire)	* India	Ecuador
Ethiopia	* Indonesia	El Salvador
Ghana	Mongolia	Guatemala
Guinea	*** Nepal	Guyana
*** Ivory Coast	Pakistan	Haiti
Kenya	Philippines	Honduras
Madagascar	Sri Lanka	Jamaica
Malawi	*** Vietnam	Mexico
Mali		Nicaragua
Mozambique		Panama
* Nigeria	<u><b>EASTERN EUROPE/</b></u>	Peru
Rwanda	<u><b>NIS</b></u> ****	
Senegal	* Albania	<u><b>NEAR EAST</b></u>
South Africa	Bulgaria	
Tanzania	The Caucasus	West Bank/Gaza
*** Togo	*** FYR Macedonia	Egypt
Uganda	Kazakhstan	Jordan
Zambia	Kyrgyzstan	Lebanon
** Zimbabwe	Moldova	* Morocco
	Romania	
	Tajikistan	
	Uzbekistan	

*\* Due to political uncertainties that may affect USAID's ability to support programs in these countries, PVOs should contact PVC and Missions prior to developing proposals.*

**\*\* Country close-out is pending which will require close collaboration with Mission for specific economic growth activities.**

\*\*\* There is currently no USAID Mission. PVOs are strongly encouraged to confirm eligibility with PVC or regional bureaus before submitting application.

\*\*\*\* *Programs for Eastern Europe/NIS would require Freedom of Support or SEED funding.*

\*\*\*\*\* **NOTE:** This list of eligible countries is subject to change without prior notice. Check with country Mission for latest updates and to confirm status prior to application submission.



## **APPENDIX B REGIONAL BUREAU CONTACTS**

<i><u>Region</u></i>	<i><u>Name</u></i>	<i><u>Telephone</u></i>
Africa	Sharon Pauling	(202) 712-4748
South & South East Asia	Louis Kuhn	(202) 712-0253
Middle East	Kimberly Finan	(202) 712-0316
Europe/New Independent States	Shane MacCarthy	(202) 712-5305
Latin America/Caribbean	Vincent Cusumano	(202) 712-5362

## APPENDIX C

### USAID MISSION ADDRESSES (LISTED ALPHABETICALLY BY COUNTRY)

*PVOs are advised to verify commercial courier addresses and contact person directly with Missions. PVOs are also strongly encouraged to verify that submissions have been received by all Missions for all countries proposed.*

USAID REPRESENTATIVE  
USAID/AMERICAN EMBASSY  
103 RRUGA E ELBASANIT  
TIRANA, ALBANIA

USAID REPRESENTATIVE OR  
PVO LIAISON OFFICER  
USAID/ANGOLA  
64 RUA DA LIGA AFRICANA  
LUANDA, ANGOLA

ARMENIA  
SEE CAUCASUS

AZERBAIJAN  
SEE CAUCASUS

PROGRAM OFFICER OR  
PVO LIAISON OFFICER  
USAID  
C/O AMERICAN EMBASSY  
MADHANI AVENUE, BARIDHARA  
DHAKA, BANGLADESH

USAID REPRESENTATIVE  
USAID  
RUE CAPORAL ANANI  
BERNARD, B.P. 2102  
COTONOU, BENIN

PROGRAM OFFICER  
USAID/BOLIVIA  
109 CALLE 9  
OBRAJES  
LA PAZ, BOLIVIA

USAID REPRESENTATIVE OR  
PVO LIAISON OFFICER  
USAID/AMERICAN EMBASSY  
SES AVENIDA DAS NACOES  
QUADRA 801, LOTE 3  
BRASILIA - DF - 70403-900 BRAZIL

PVO LIAISON OFFICER OR  
USAID REPRESENTATIVE  
C/O AMERICAN EMBASSY  
1 SUBORNA STREET  
SOFIA - 1000, BULGARIA

BURMA  
NO USAID IN-COUNTRY  
PRESENCE  
CHECK WITH REGIONAL BUREAU  
CONTACT

USAID/CAMBODIA  
NO. 18 MONGKUL EAM ST. #228  
PHNOM, PENH, CAMBODIA

SUBMISSIONS FOR  
THE CAUCASUS:  
- ARMENIA  
- AZERBAIJAN  
- GEORGIA  
USAID/CAUCASUS/TBLISI  
20 TELAVI ST, 5<sup>TH</sup> FLOOR  
TBILISI, 380036  
REPUBLIC OF GEORGIA

SUBMISSIONS FOR  
CENTRAL ASIAN REPUBLICS  
- KAZAHSTAN  
- KYRGYSZSTAN  
- TAJIKISTAN  
- UZBEKISTAN  
PVO LIAISON OFFICER  
USAID/ALMATY  
C/O AMERICAN EMBASSY  
97A FURMANOV STREET  
480091 ALMATY, KAZAKHSTAN

DEMOCRATIC REPUBLIC OF  
CONGO (ZAIRE)  
NO COMMERCIAL COURIER  
ADDRESS, CHECK WITH  
REGIONAL BUREAU CONTACT

DIRECTOR  
AMERICAN EMBASSY  
USAID/SANTO DOMINGO  
LEOPOLDO NAVARRO 12  
SANTO DOMINGO,  
DOMINICAN REPUBLIC

PVO LIAISON OFFICER  
USAID  
1573 AV. COLOMBIA Y QUESERAS  
DEL MEDIO  
EDIFICIO COMPUTEC  
QUITO, ECUADOR

DIRECTOR, EDUCATION,  
TRAINING & PVO SUPPORT  
USAID/CAIRO  
ZAHRAA EL MAADI  
MAADI  
CAIRO, EGYPT

PVO LIAISON OFFICER  
USAID/EL SALVADOR  
URBANIZACION Y BOULEVARD  
SANTA ELENA  
ANTIGUO CUSCATLAN  
LA LIBERTAD, EL SALVADOR

CHIEF, HUMAN & INSTITUTIONAL  
DEVELOPMENT OFFICE  
USAID/ETHIOPIA  
RIVERSIDE BUILDING  
(OFF ASMARA RD &  
BOLE/OLYMPIA)  
ADDIS ABABA, ETHIOPIA

FORMER YUGOSLAVIAN  
REPUBLIC OF MACEDONIA  
NO USAID COMMERCIAL  
COURIER ADDRESS,  
CHECK WITH REGIONAL BUREAU  
CONTACT

PVO LIAISON OFFICER OR  
DIRECTOR  
USAID/GHANA  
E45/3 INDEPENDENCE AVE  
ACCRA, GHANA

DIRECTOR  
USAID  
1 CALLE 7-66, ZONA 9  
01009 GUATEMALA  
GUATEMALA, C.A.

PVO LIAISON OFFICER OR  
DIRECTOR  
USAID/GUINEA  
CAMAYENNE CORNICHE NORD  
QUARTIER CAMEROUN  
CONAKRY, GUINEA

USAID REPRESENTATIVE  
USAID/MISSION TO GUYANA  
263 EARL'S AVENUE  
SUBRYANVILLE  
GREATER GEORGETOWN,  
GUYANA

PVO LIAISON OFFICER  
USAID  
#17 HARRY TRUMAN BLVD.  
PORT AU PRINCE, HAITI

DIRECTOR  
USAID  
AVENIDA LA PAZ  
FRENTE EMBAJADA AMERICAN  
TEGUCIGALPA DC, HONDURAS

HEAD OF OFFICE OF SOCIAL  
DEVELOPMENT  
USAID/AMERICAN EMBASSY  
SHANTIPATH, CHANAKYAPURI  
NEW DELHI 110 021, INDIA

PVO LIAISON OFFICER  
USAID/ INDONESIA  
JL. MEDAN MERDEKA  
SELATAN 3-5  
JAKARTA 10110, INDONESIA

DIRECTOR  
USAID/WEST BANK/GAZA  
C/O AMERICAN EMBASSY  
71 HAYARKON STREET  
TEL AVIV, ISRAEL 63903

IVORY COAST  
SEE WEST/CENTRAL AFRICA  
REGION

PVO LIAISON OFFICER  
USAID/KINGSTON  
2 HAINING ROAD  
KINGSTON 5, JAMAICA  
CARIBBEAN, WEST INDIES

USAID OFFICE  
PVO LIAISON OFFICER  
C/O AMERICAN EMBASSY,  
ABDOUN  
AMMAN, JORDAN

KAZAKHSTAN  
SEE CENTRAL ASIAN REPUBLICS

PVO LIAISON OFFICER OR  
DIRECTOR  
USAID  
USAID TOWERS  
THE CRESCENT, PARKLANDS  
NAIROBI, KENYA

KYRGYZSTAN  
SEE CENTRAL ASIAN REPUBLICS

PVO LIAISON OFFICER  
ANTELIAL  
BEIRUT, LEBANON

PVO LIAISON OFFICER OR  
DIRECTOR  
USAID/MADAGASCAR  
IMMEUBLE VONISOA III  
AVENUE DOCTEUR RAVOHANGY  
ANOSY, ANTANANARIVO, 101  
MADAGASCAR

PVO LIAISON OFFICER OR  
DIRECTOR  
USAID/MALAWI  
NICO HOUSE, 1ST FLOOR  
LILONGWE 3, MALAWI

PVO LIAISON OFFICER OF  
DIRECTOR  
USAID/MALI  
IMMEUBLE DOTEMBOUGOU  
RUE RAYMOND POINCARRE  
& RUE 319  
QUARTIER DU FLEUVE  
BAMAKO, MALI

USAID REPRESENTATIVE  
USAID/MEXICO  
PASEO DE LA REFORMA 305  
COL. CUAUHTEMOC  
06500 - MEXICO D. F., MEXICO

SUBMISSIONS FOR MOLDOVA  
SHOULD BE SENT TO BOTH OF  
THE MISSIONS BELOW:  
USAID/MOLDOVA  
AMERICAN EMBASSY  
103 MATEEVIA ST.  
CHISINAU, MD 2009  
MOLDOVA  
AND  
USAID/KIEV  
19 NIZHNYI VAL SR.  
KIEV  
254071 UKRAINE

USAID REPRESENTATIVE  
USAID  
C/O AMERICAN EMBASSY  
ULAANBAATAR, MONGOLIA

PVO LIAISON OFFICER  
USAID  
10, AVENUE MEHDI BEN BARKA  
SOUISSI  
RABAT, MOROCCO

PVO LIAISON OFFICER OR  
DIRECTOR  
USAID/MOZAMBIQUE  
PROGRAM & ACTIVITY  
DEVELOPMENT OFFICE  
107 RUE FARIA DE SOUSA  
MAPUTO,  
REPUBLIC OF MOZAMBIQUE

PROGRAM OFFICER  
USAID/NEPAL  
RABI BHAWAN,  
KALMATI  
P.O. BOX 5653  
KATHMANDU, NEPAL

DEPUTY CHIEF  
OFFICE OF HUMAN INVESTMENT  
USAID/NICARAGUA  
C/O AMERICAN EMBASSY  
MANAGUA, NICARAGUA

PVO LIAISON OFFICER  
USAID/NIGERIA  
1601 ADEOLA HOPEWELL  
VICTORIA ISLAND  
LAGOS, NIGERIA

PVO LIAISON OFFICER  
USAID  
EDIFICIO PLAZA REGENCY  
SEGUNDO PISO, VIA ESPANA  
PANAMA CITY, REPUBLICA DE  
PANAMA

PAKISTAN  
NO USAID IN-COUNTRY  
PRESENCE, CHECK WITH  
REGIONAL BUREAU CONTACT

DIRECTOR  
USAID  
AV. AREQUIPA 351  
LIMA 1, PERU

PROGRAM OFFICER/PVO  
OFFICER  
USAID  
RAMON MAGSAYSAY BUILDING  
1680 ROXAS BOULEVARD,  
MALATE 1004  
MANILA, PHILIPPINES

USAID/REPRESENTATIVE  
USAID OFFICE  
BLVD. NATIUNILAR UNITE NO. 1  
BLOCK 108A, "GEMENII  
SITRATCO"  
FLOORS 6-9, SECTOR 5  
BUCHAREST, ROMANIA

PVO LIAISON OFFICER OR  
DIRECTOR  
AVENUE PAUL VI  
BP 2848  
KIGALI, RWANDA

PVO LIAISON OFFICER OF  
DIRECTOR  
USAID  
C/O AMERICAN EMBASSY  
BP 49  
AVENUE JEAN XXIII & RUE  
KLEBER  
DAKAR, SENEGAL

PVO LIAISON OFFICER OR  
DIRECTOR  
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524 CHURCH STREET  
ARCADIA, PRETORIA 0007  
SOUTH AFRICA

DIRECTOR  
USAID  
44 GALLE ROAD  
COLOMBO 3, SRI LANKA

TAJIKISTAN  
SEE CENTRAL ASIAN REPUBLICS

PVO LIAISON OFFICER OR  
DIRECTOR  
USAID  
3RD FL, ATC HOUSE  
OHIO STREET  
DAR ES SALAAM,  
UNITED REP. OF TANZANIA

TOGO  
SEE WEST/CENTRAL AFRICA  
REGION

PVO LIAISON OFFICER OR  
DIRECTOR  
USAID  
C/O AMERICAN EMBASSY  
42 NAKASERO ROAD  
KAMPALA, UGANDA

UZBEKISTAN  
SEE CENTRAL ASIAN REPUBLICS

SUBMISSIONS FOR  
WEST/CENTRAL AFRICA REGION  
- IVORY COAST  
- TOGO  
PVO LIAISON OFFICER  
USAID/ABIDJAN  
5, RUE JESSE OWENS  
01 BP 1712  
ABIDJAN 01, COTE D'IVOIRE

PVO LIAISON OFFICER OR  
DIRECTOR  
USAID MISSION  
351 INDEPENDENCE AVENUE  
LUSAKA, ZAMBIA

PVO LIAISON OFFICER OR  
DIRECTOR  
USAID/ZIMBABWE  
1 PASCOE AVENUE  
BELGRAVIA  
HARARE, ZIMBABWE

VIET NAM  
NO USAID MISSION PRESENCE  
IN-COUNTRY, CHECK WITH  
REGIONAL BUREAU CONTACT

## REGIONAL OFFICE ADDRESSES

### AFRICA

Regional Economic Development Services Offices (REDSO)

#### EAST & SOUTHERN AFRICA:

PVO LIAISON OFFICER  
USAID  
USAID TOWERS – REDSO/ESA  
THE CRESCENT, PARKLANDS  
NAIROBI, KENYA

#### Regional Center for Southern Africa (RCSA):

DIRECTOR  
USAID/REGIONAL CENTER FOR  
SOUTHERN AFRICA  
PLOT NO 14818 LEBATLANE ROAD  
GABORONE WEST EXTENSION 6  
GABORONE, BOTSWANA

#### LATIN AMERICA/CARIBBEAN:

#### Regional Office for Central American Programs (ROCAP)

DIRECTOR, REGIONAL PROGRAMS  
USAID/ROCAP  
1 CALLE 7-66, ZONA 9  
EDIFICIO PLAZA UNO  
01009 GUATEMALA CITY, GUATEMALA

#### NEW INDEPENDENT STATES:

DIRECTOR, REGIONAL MISSION FOR CENTRAL ASIA REPUBLIC  
USAID/ALMATY  
C/O AMERICAN EMBASSY  
97A FURMANOV STREET  
480091 ALMATY, KAZAKHSTAN

**PVOs interested in proposing a regional approach should contact the above regional offices in the same manner as you would a mission. Likewise, applications should be sent to the regional offices for review.**

**APPENDIX D**  
**COVER SHEET FOR SUBMITTING APPLICATION TO MISSION**

Country: \_\_\_\_\_  
USAID Mission Director: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**FY 2000 MATCHING GRANT APPLICATION**

**USAID/BHR/PVC** has requested that \_\_\_\_\_(PVO) provide appropriate USAID Missions with a copy of their application for **PVC's centrally-funded Matching Grant Program**, which requests PVC support for in-country programs. PVC will provide review guidance to the Missions by cable. Your participation in the review of these applications is critical and your assistance is appreciated.

Questions for PVC should be directed to:

Martin Hewitt  
Chair, Matching Grant Review Committee  
USAID/BHR/PVC  
1300 Pennsylvania Avenue, NW 7.6D  
Washington, D.C. 20523-7600  
(703) 741-0565 or (202) 712-1531  
e-mail: mdliakos@aol.com

Questions for the PVO should be directed to:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

## **Part II**

### **FISCAL YEAR 2000 MATCHING GRANT APPLICATION**

#### **BUREAU FOR HUMANITARIAN RESPONSE OFFICE OF PRIVATE AND VOLUNTARY COOPERATION MATCHING GRANT PROGRAM**

##### **Instructions:**

All organizations requesting Matching Grant funding must complete this application, the accompanying OMB Standard Form 424 Budget Request and other required attachments (including the Program Methodology where appropriate). All questions must be answered.

Responses should allow left and right margins that leave enough space to be read when bound. Characters must be in at 12-point font. You may adjust the spacing for responding to each question as you see fit as long as the amount of space used per section does not exceed the following limitations. Applicants may elect to introduce the questions by number and heading only, if space is an issue.

**While points are not awarded for format, “reader-friendly” layouts are deeply appreciated and create a favorable impression on the reviewers.**

Section A, Program Summary - two pages

Section B, History of Organization - one page

Section C, Program Foundation and Design - seven pages

Section D, Country-Specific Activities Linked to Headquarters Objectives –  
seven pages per country

Section E, Program Management/Headquarters Activities - seven pages

Section F, Mentoring Component (optional) - one page

Be sure to fill out Section D (Country-Specific Activities Linked to Headquarters Objectives) in full for each country program (i.e., there should be one set of responses for each proposed country activity).

Given these constraints, it is incumbent on the soliciting organization to be as succinct, yet comprehensive as possible in responding to questions.

### Instructions for Standard Form 424

Please see the instructions accompanying SF 424 in Attachment B.

Budget worksheets for headquarters and each proposed country should accompany SF 424.

Refer also to Notes to Budget, provided with Attachment A, for additional guidance.

Note that applicants will be required to submit to USAID's Office of Procurement a Self-Certification letter pertaining to compliance with applicable Federal and USAID accepted policies for personnel, travel and procurement systems (see Attachment C). The Self-Certification letter must be submitted with your Matching Grant Application.

#### SUMMARY LIST OF REQUIRED ATTACHMENTS REFER TO QUESTION #

- 1 -- Standard Form 424 with self-certification (see instructions above),  
Attachment B
- 2 -- Planning Matrix, C13
- 3 -- Program-wide Implementation Plan, E29
- 4 -- Organizational Chart and CVs of Key Personnel, E29  
(specifically limited to the proposed program)
- 5 -- List of USAID-funded Projects, E30
- 6 -- Executive Summary of Most Recent External Evaluations, E35
- 7 -- Sustainability Methodology for Microenterprise Credit Programs - Attachment H
- 8 -- Letter of commitment from proposed partner(s), D19
- 9 -- Copy of formal partnership agreement(s), D19  
(*optional, but required as part of Detailed Implementation Plan*)

**NOTE:** Please only send attachments that are explicitly requested above. Additional attachments will not be reviewed by the application review committee.



# **FISCAL YEAR 2000 MATCHING GRANT APPLICATION**

## **TABLE OF CONTENTS** (To be included in application submission)

Section A:	Program Summary	page #
Section B:	History of Organization	
Section C:	Program Foundation and Design	
	I.    Foundation	
	II.   Design (including Planning Matrix)	
Section D:	Country-Specific Activities Linked to Headquarters Objectives	
Section E:	Program Management/Headquarters Activities	
Section F:	Mentoring Component (if elected)	

### Attachments:

- A. Budget and Narrative
- B. Program-Wide Implementation Plan (or GANNT Chart)
- C. Organizational Chart
- D. Resumes of Key Personnel
- E. List of Previous USAID-funded Projects
- F. Executive Summary of Most Recent External Evaluation(s)
- G. Sustainability Methodology for Microenterprise Programs
- H. Letters of Commitment from Local Government/Local Partners

## ***Fiscal Year 2000 Matching Grant Application***

### **A. PROGRAM SUMMARY**

*(Two Pages Maximum)*

A1. Organization, Contact Person  
Tel. & Fax Numbers

A2. Address and E-mail Address

A3. **USAID \$**

**PVO \$ Match**

**Request**

FY2000 \$ \_\_\_\_\_

FY2000 \$ \_\_\_\_\_

LOP \$ \_\_\_\_\_

LOP \$ \_\_\_\_\_

**A5. Distribution of AID \$ by Strategic Objective**

**Strategic Objective    % PCT of AID LOP**

Economic Growth \_\_\_\_\_

Population & Health \_\_\_\_\_

Environment \_\_\_\_\_

Democratic Pluralism \_\_\_\_\_

Basic Education \_\_\_\_\_

**A4. Program Period: (3 or 5 years) \_\_\_\_\_**

A6. Life of Project (LOP) Funding Distribution by Region and Country ('000s)  
(This chart should correspond to the figures provided in the program summary budget as Attachment A in application submission.)

<b><u>Location</u></b>	<b><u>USAID \$</u></b>	<b><u>PVO \$</u></b>	<b><u>TOTAL \$</u></b>
a. HEADQUARTERS			
b. COUNTRY (list)			
TOTAL (DIRECT COSTS):			
INDIRECT COSTS:			
TOTAL MG PROGRAM:			

**A7. TITLE/EXECUTIVE SUMMARY:**

Describe the program's goal and objectives. Indicate to what extent your organization's strategic plan emphasizes partnerships. Identify beneficiary groups and estimate the numbers by gender in each that will be directly affected by your proposed program. Describe the program management organization proposed and the technical and managerial resources at headquarters and in the field that will be assigned to this program. Indicate which of these positions are new for your organization. Identify proposed local partners, how they were involved in the development of the proposal, and how they will contribute to implementation of the program.

## **B. HISTORY OF ORGANIZATION**

(5%) (One Page)

### **B8. HISTORY OF YOUR ORGANIZATION:**

State your organization's general purpose/goals. Outline the organization's history in working with the type of program proposed.

### **B9. DESCRIPTION OF ORGANIZATION:**

Describe your domestic and worldwide activities, methods of operation, and organizational structure. Indicate your organization's annual budget. Briefly highlight your experience in partnering with local entities and how your organization has helped strengthen these partners, or if your organization is new to partnering, explain your objectives in initiating such a program.

### **B10. ORGANIZATION GOALS:**

Describe the relationship of the proposed program to your organization's present and future goals and how this program will help you reach these goals. How will the program result in organizational growth to better address development problems?

## **C. PROGRAM FOUNDATION AND DESIGN**

(40%) (Seven Pages Maximum, Not Including Planning Matrix)

### **I. FOUNDATION (20%)**

The purpose of this section of the application is to describe the background, primary issues and problems that need to be addressed by the program. It outlines your organization's analysis and rationale for implementing the proposed program.

### **C11. PROBLEMS TO BE ADDRESSED:**

Provide a thorough description of (1) the problem(s) that the proposed program will address, and (2) the key constraints, which may be lessened or removed by the program. Address the issues in context of the proposed program countries and headquarters. Do not provide a general or global description of the problem. Cite relevant data and information from the proposed countries, any assessments that you have carried out to analyze the problem, or prior experience with these issues in the countries proposed.

**PLEASE NOTE: If this is a follow-on program:** (1) provide a thorough explanation of what issues or problems remain to be addressed; (2) cite information and data from the latest evaluation of the existing program detailing what objectives have been achieved and what remains to be completed.

#### C12. RATIONALE FOR UNDERTAKING PROGRAM:

This section should provide a thorough discussion of your organization's rationale for addressing the problems cited in Section C11 (Problems to be Addressed). Discuss the rationale in terms of:

- Your organization's development philosophy and USAID's and PVC's policies and priorities as stated in the Guidelines for FY 2000 Matching Grant Applications.
- If this is a new program area for your organization, explain why you are entering into it, and how it relates to the organization's general purpose, goals, and current programs.
- The appropriateness of investing intended amounts of scarce resources in the activities identified.
- The strategy or approach that will be used to address the problem and why this strategy was chosen as opposed to other options to addressing the problem.
- Criteria for country selection and program sites.

**PLEASE NOTE: Recipients of previous matching grants and applications for follow-on programs** will need to provide a thorough discussion on how the proposed program is related to or builds on previous activities. The discussion should cite recommendations from the latest evaluation. Follow-on programs should also include (1) the strategy for replication and/or scale-up of the activity and (2) devolution or phase-out plans.

## **II. DESIGN** (20%)

This section of the application should provide the reviewer with a clear understanding of the proposed program.

#### C13. GOALS AND OBJECTIVES:

This section of the application should include:

- A brief description of the broad development goal that the program is seeking to address. (The goal is usually broader in scope than can be reached by any one program, e.g., to increase income and employment among the poor in Latin America.)
- A description and discussion of the program objectives and what the program is seeking to achieve. This section should discuss both the capacity building and intervention-specific (e.g., micro-credit) objectives at both headquarters and at the field level.
- A completed Planning Matrix, which should contain: (1) a set of results-oriented program objectives which distinguishes what the program hopes to accomplish; (2) indicators that match each program objective and define what will be measured to determine whether the objective has been achieved and to track change from the beginning to the end of the activity; (3) information on where and how the data for the indicators will be collected; and, (4) inputs or major activities that will lead to the achievement of each objective.

*Matching Grant applications should treat the Planning Matrix as an aggregate portrayal of the program; i.e., the Matrix should serve as the summary of all headquarters and country inputs, objectives, and critical indicators combined.*

### Planning Matrix

Program Goal: \_\_\_\_\_

PROGRAM OBJECTIVES	INDICATORS	DATA SOURCE AND MEASUREMENT METHODOLOGY	MAJOR PLANNED ACTIVITIES
<p>What do you expect or want to change?</p> <p>*****</p> <p>The objective should:</p> <ul style="list-style-type: none"> <li>- be specific</li> <li>- clearly state the type of change expected</li> <li>- be clear about who or what is changing - individual, group, or organizational change</li> </ul>	<p>What indicators will signal the achievement of the objective?</p> <p>What evidence would you accept that the objective has been achieved?</p> <p>*****</p> <p>Indicators should be:</p> <ul style="list-style-type: none"> <li>- direct</li> <li>- objective &amp; precise</li> <li>- quantitative, where possible</li> <li>- practical</li> <li>- sufficiently reliable for confident decision-making</li> </ul>	<p>What specific source of data for each indicator?</p> <p>What method will be used to obtain information or data?</p> <p>*****</p> <p>If data doesn't already exist, make provision for funding baseline and final data collection activities in the budget.</p>	<p>What activities will support achievement of the objective?</p>

#### C14. CAPACITY BUILDING STRATEGY:

In this section of the application, present a thorough discussion on the capacity building strategy as well as the capacity building activities of the proposed program. Relate this discussion to the problems outlined in Section C12 (Program Rationale for Undertaking Program) and the capacity building objectives outlined above in the Planning Matrix.

- Discuss the approach or model the program will use to build capacity within your organization at both headquarters and field level. Specify what capacity needs will be addressed in the program
- Briefly discuss the overall strategy for building capacity among local partners in order to sustain service delivery. (Section D --- contains a more specific set of questions regarding partners and local level capacity building). This section should focus on the broad strategy --- e.g., if training is a major approach to capacity building, provide a discussion of the training strategy (not specific activities).

**PLEASE NOTE: If the proposed program is a follow-on activity or if the applicant has had a previous Matching Grant,** explain how this activity relates to a prior MG and to what degree were the capacity building objectives met in the prior grant. Give concrete examples of changes in organizational capacity that resulted from the prior grant and how this has affected the organization's ability to deliver services.

**C15. TECHNICAL APPROACH:**

Describe the interventions or technical approach that will be used to address the problems and constraints outlined in Section C (Program Foundation and Design).

- Briefly describe the technical intervention and major activities that will support achievement of the objectives outlined in the Planning Matrix.
- Identify whether the program will develop new methodologies, materials, or pilot new approaches.
- Explain how lessons learned or evaluation results from prior programs were used in the design of the proposed program.

**C16. MEASURING PROGRAM PERFORMANCE:**

This section should contain a description of the systems and mechanisms your organization will put into place to monitor and document program results.

- Describe how the proposed program will: (1) measure achievement of the objectives stated in the Planning Matrix; (2) monitor the implementation process to assure that the program is meeting yearly benchmarks; (3) consolidate program data across all field activities to develop the overarching lessons learned from the program; and, (4) how the program intends to use performance data and lessons learned to improve program operations and increase the organization's capacity to design and implement high quality programs.
- Describe your organization's current capacity to monitor and evaluate country activities, program performance, and capacity building achievements. Give examples of your ability to document program results and impact.
- If the proposed program is seeking to build or strengthen institutional capacity in monitoring and evaluation, provide details on the weakness of the current system and the approach that will be used to make sustainable improvements.

## **D. COUNTRY-SPECIFIC ACTIVITIES LINKED TO HEADQUARTERS OBJECTIVES**

(30 %) (Seven Pages Maximum Per Country)

**PLEASE NOTE:** The following points should be addressed for each country in which activities are proposed.

### **D17. OVERVIEW OF COUNTRY PROGRAM:**

Provide a background summary for each country-level program. The summary should include:

- A brief country and site-specific description of the problem, constraints and options considered. Cite country-specific data to support the rationale for the intervention proposed and how the proposed activities are related to existing development efforts of USAID and other development organizations.
- A description of what the proposed program plans to accomplish. Include the country-specific objectives and indicators (include these in the Planning Matrix).
- Outline and discuss the strategy, technical interventions and activities the proposed project will put into place to achieve the objectives.
- If training is to be a component of the proposed program: (1) describe the training objectives and strategy and how these activities support achievement of the program objective; (2) identify target groups; (3) indicate how the proposed program will measure the effectiveness of the training strategy --- i.e., use of skills from training and/or change in organizational or individual behavior due to training; and, (4) outline plans to maintain training system at end of proposed program.

### **D18. INFORMATION ON BENEFICIARY POPULATION:**

- Identify and estimate the number of direct beneficiaries of program activities. Disaggregate beneficiary populations by gender.
- Provide background data on the level of beneficiary status (e.g., production, income, savings, number of groups formed, available resources) and identify the source of the data (e.g., UNDP, PVO's baseline survey, World Bank).

### **D19. LOCAL PARTNERSHIP DEVELOPMENT:**

This section should outline how the proposed activity will strengthen the local partner organization(s) that will participate in the program and promote its long-term sustainability.

- Describe the local partner's programs and what the partner(s) will contribute to the proposed program goal, objectives and implementation of the program. Provide a chart that summarizes (1) the name of the local partner(s); (2) address; (3) year the organization was founded; (4) mission of the organization; and, (5) a brief discussion of the main activities of the organization over the last three years.
- Indicate the length of your relationship with the partner(s) and describe the nature of your collaboration (informal, structured with written agreements, etc.).
- Indicate how your local partner(s) (1) was consulted during proposal preparation; and, (2) any electronic linkages or networks that exist between your organization and the local partner(s).

- Describe the current capacity of your local partner(s), including the financial, human and material resources of the local partner(s). How were local partner's organizational and technical capacity building needs were assessed? What specific areas, systems or staff need strengthening? Relate this discussion to Section C14 (Capacity Building Strategy).
- Describe how the program plans to strengthen the managerial and/or technical skills and resource base of local partners. List the capacity building objectives, indicators and how a change in capacity will be documented. (Include these in the Planning Matrix).
- Describe the kinds of resources you will be providing to your local partner organization(s) through the program and the kinds of mechanisms you plan to use to provide this support (TA, training, sub-grants, etc.)

If your application incorporates collaboration with private sector partner(s), describe their contribution to the program.

- Describe the private sector partner's main activities and what the partner(s) will contribute to the proposed program goal, objectives, and implementation of the program. Include the name and address of the partner. If your organization plans to work with a local subsidiary of an international corporation, include the names and addresses of both the subsidiary and parent corporation.
- Describe the managerial, technical, and/or financial resources the private sector partner(s) will provide for the proposed activities.
- Indicate the length of your relationship with the partner(s) and describe the nature of your collaboration (informal, structured with written agreements, etc.)
- Indicate how your private sector partner(s) was consulted during proposal preparation.
- Discuss the private sector partner's rationale for participating in this program.

Please note that Matching Grant funds may not be provided for a for-profit entity. Any program funds intended for a private sector partner must come from non-Matching Grant sources. Include letters of commitment and copies of formal partnership agreements (optional, but required in Detailed Implementation Plan) as attachment H in application submission.

#### D20. SUSTAINABILITY STRATEGY:

This section of the application discusses the PVO's approach to program sustainability.

- Identify what program services or elements are to be sustained when Matching Grant resources end.
- Provide a list of the sustainability objectives and indicators. (Include these in the Planning Matrix.)
- Outline the strategy or approach to sustaining the components of the program that are intended to remain in operation after the Matching Grant ends.
- Discuss financial sustainability. Are there plans for the program to institute fee-for-service or cost recovery interventions? What data will be needed to establish an analytic basis for these decisions? How will a market of fee-paying users be developed? By the end of the Matching Grant what percentage of project costs is targeted to be paid for by local earnings/cost recovery? Give a projection of the



volume of services, price, cost and projected income-over-expenses. What other sources of program support are envisioned and how will they be developed?

- Discuss organizational sustainability. What policies, values and structures need to be developed within your organization and at what levels to expand self-sustainability? How will you do this? What types of personnel and business management systems and procedures must be introduced or expanded within your organization to improve sustainability? What are the plans for staff funded by the Matching Grant?

#### D21. MONITORING PLAN AND EVALUATION:

Discuss your organization's plans to:

- Measure program achievements and document results and impact on target populations. Discuss the methodologies that will be used to collect data baseline data on the headquarters and country-specific indicators listed in the Planning Matrix.
- Monitor program implementation. What mechanisms will the project put into place to assure that program field staff has the capacity and are using performance data to improve program operations?
- Indicate if there are plans to conduct any additional assessments, studies or surveys (if the program is funded) and describe how this information will be used to strengthen program implementation or revise program objectives, targets or plans.

**PLEASE NOTE:** In a change from previous practice, the Matching Grant Program will now require that the PVO grantee, in coordination with BHR/PVC, arrange and manage mid-term (for 5 year programs only) and final evaluations (all programs). Please be sure to include the cost of these evaluations as a line-item in your proposal budget.

#### D22. RELATIONSHIP TO USAID MISSION AND HOST GOVERNMENT'S DEVELOPMENT PRIORITIES:

Describe how your program relates to the development priorities of the USAID mission and the host government in the proposed country. If applicable, give a summary of any planned collaboration in your field-level activities with host government ministries, Peace Corps, other U.S. PVOs, or other international organizations.

#### D23. HOST GOVERNMENT POLICY DIALOGUE:

Discuss any efforts being made by your organization to influence, at the local and national levels, government policies that impact your program. In addition, discuss host government actions or approvals that are needed and plans for securing them.

#### D24. MISSION CONTACT:

Give the status and nature of prior or ongoing discussions with USAID Mission staff. Indicate dates and names of staff contacts.

D25. GENDER:

How will gender differences be addressed in the design, implementation, management, and evaluation of the program?

D26. ENVIRONMENTAL IMPACT:

Describe the process by which environmental impact has been assessed and possible positive and negative effects that may be created by the proposed program.

D27. YOUR OTHER IN-COUNTRY USAID-FUNDED ACTIVITIES:

Specify the activities being funded. What is the relationship of the proposed program to these other activities? (e.g., Title II Food Aid -- including monetized Title II resources, OPG's, contracts, Child Survival grants.)

## **E. PROGRAM MANAGEMENT/HEADQUARTERS ACTIVITIES**

(25%) (Seven Pages Maximum)

### **E28. ORGANIZATIONAL EXPERTISE:**

This section should: (1) outline your organization's current technical and managerial expertise to carry out the proposed program, and (2) link this discussion to the proposed program's objectives to build or strengthen your organization's capacity at headquarters.

The following elements should be addressed:

- Provide a brief description of your organization's program planning process.
- Provide a brief discussion of your organization's experience in managing field programs or technical interventions that address the same kinds of activities proposed in this application. Include program experience and staff capabilities at both headquarters and the field that demonstrate your capacity to carry out the proposed activities.
- Describe your organization's management information system. Include a discussion on your current organizational capacity to measure results and demonstrate program effects. Give specific examples that demonstrate this capacity, i.e., the development of indicators, implementation of baseline surveys, or use of quantitative/qualitative measurement approaches to assess change in clients, communities, or organizational behavior.
- Provide an organizational chart as Attachment C in the application submission.

### **E29. IMPLEMENTATION PLAN:**

This section of the application should focus on how you are going manage the implementation of the proposed program. It should address the proposed management structure for the program, staffing pattern and staff qualifications. Relate this discussion to your organization's proposed capacity building objectives outlined in Section C14 (Capacity Building Strategy) of this application.

- Discuss the proposed program's management structure. Identify departments responsible for managing this program at your organization's headquarters and in the field. Include a discussion of roles and responsibilities at headquarters and at the field level. Discuss lines of communication.
- Discuss what staffing capabilities will be required to enhance your organization's ability to partner with and strengthen local organizations and how the program will help to meet those needs. Include an organizational chart that shows the current and the proposed (if changing) staffing pattern for your organization.
- Discuss the key staff positions for the proposed program. Identify proposed candidates, their qualifications and experience. Discuss arrangements for technical backstopping, i.e., link staff with proposed activities. Provide CVs for key staff positions as Attachment D in application submission.
- Discuss any quality and/or administrative controls your organization will undertake a timely start-up, ensure task completion and cost management.

- Provide in the form of a Matrix, a program–wide implementation plan (e.g., a GANNT chart) including main activities of the program. List on the vertical axis the activities and on the horizontal axis give the time frame or dates of their completion. Indicate whether these activities are to be accomplished at headquarters, regional office, or field level. Include as Attachment B in application submission.

### **E30. PREVIOUS AND CURRENT USAID-FUNDED PROJECTS**

Discuss the current USAID-funded projects undertaken by your organization. List these projects as Attachment E. Include the USAID source of funds, the amount, and briefly describe each activity.

### **E31. PROGRAM CONTINUITY:**

If this program is helping your organization to strengthen your planning, technical, and management capacity in a new program area, discuss how this capacity will be sustained after the grant ends. Describe your approach for developing a business plan that will assure program sustainability at the end of Matching Grants funding.

### **E32. PROGRAM FINANCIAL ACCOUNTING:**

Discuss management information procedures for ensuring accountability in the use of U.S. Government funds and your non-U.S. Government source match. Describe headquarters/field program budgeting and reporting procedures.

### **E33. PROGRAM BUDGET NARRATIVE:**

Provide a narrative discussion of program budget line items, method of estimating costs, and related assumptions. Refer and correlate this narrative to the prepared budget tables that are to be submitted as Attachment A to your application. Blank budget sheets are attached to this application form as Attachment A and can be used as models for providing the requested data. If key program cash contributions are coming from sources other than USAID and the PVO, describe the proposed arrangements and the status of the negotiations. If any sub-grants are contemplated, they should be described here.

### **E34. FINANCIAL HISTORY/PROJECTIONS:**

Discuss your organization's financial history and projections. Refer and correlate this narrative to the budget table.

### **E35. EXTERNAL PROGRAM/PROJECT EVALUATIONS**

Provide a brief discussion on the major results and issues from evaluations completed in the past three years on projects your organization has implemented. Provide the following information: dates, countries, and identify the evaluators. In addition, provide, as Attachment F, the Executive Summary and program recommendations of the most recent evaluation of your organization by BHR/PVC, if one has been undertaken. If your organization has never been a PVC grant recipient, provide the above information of another recent external program evaluation.

**PLEASE NOTE:** Letters of support or a financial audit do not constitute an evaluation.

## **F. MENTORING COMPONENT (OPTIONAL)**

PVC strongly encourages mature PVOs to consider this option.  
(Additional 5%) (One Page Maximum)

### **F36. MENTORING PARTNERSHIP:**

If your organization is going to include a mentoring component, describe your proposed mentoring partner. Detailed information should be provided on the roles, responsibilities and accountability of each partner organization. A single award will be made to one recipient with the partner as a sub-recipient. The application should propose the structure that the partner organizations have determined meets their respective needs. A mentor/mentoree relationship may consist of: exchange of information, technical assistance, and/or resource transfers. Include additional information you feel would be important for consideration by the Matching Grant Review Committee as it reviews the proposed program. N.B.: The mentoring partner must be a U.S. PVO and should be a small, nascent U.S. PVO working in complementary program areas.

## **Attachment A**

### **NOTES TO BUDGET (Required)**

\*PLEASE BE SURE TO PROVIDE BUDGET WORKSHEETS FOR HEADQUARTERS AS WELL AS EACH PROPOSED COUNTRY AS A SUPPLEMENT TO THE STANDARD FORM 424.\*\*

(1) **Cost-Sharing Arrangement:** The Recipient has agreed to expend from its non-Federal cash funds by the end of the life-of-project (LOP) period the amount of total cost-share/match expenditures specified in the Recipient Share columns of the budget. The Recipient is required to meet the requirements of the Standard Provision of this Agreement entitled "Cost-Sharing/Matching". The Recipient is required to report in its annual reports and in the Financial Status Report Form SF 269 the total amount of cost-sharing/matching to date. Although the Recipient is required to cost-share/match on a life-of-project basis, it is also expected to expend those funds on a pro-rata basis per year and not wait until the last year of the agreement to expend its cost share match. Partner contributions may be applied to the cost-share when auditable as such.

(2) **Procurement:** The Recipient is expected to use its own private cost-share/matching funds for all procurements of non-expendable property estimated at over \$5000 per unit, for all procurements of motor vehicles (including motor bikes) and for all non-U.S. procurements. This alleviates the requirement for a source/origin waiver and also places the title to property completely in the Recipient's name.

(3) **Salaries:** The budget line for salaries must reflect levels of effort being supported by the grant, i.e. by title, person days and rate.

(4) **Travel:** The budget narrative must include a breakout of both domestic and international travel and indicate destination and number of trips, number of persons traveling and number of days per trip.

(5) **Cost Basis:** The budget narrative should fully explain the basis for the line item costs so that the Grant Officer can easily verify the cost based on the calculations indicated in the narrative. This will obviate the need to request budget clarifications, which delay the processing of the award. The narrative need not cover each individual component of each line item. It may cover groups of items as appropriate. The description of the basis should answer questions like the following:

### **Attachment A con't**

- are the proposed salaries based on current salaries and are they appropriate for the locality?
- are airfares based on quotes for coach fare?
- are equipment purchase costs based on catalogue prices or supplier quotes?
- are proposed per diems based on established policies?

(6) **Grant Budget:** The budget in the award document will normally have only four (4) cost elements. The budget will be set up as follows:

- (1) Program (or output)\*
- (2) Training
- (3) Procurement
- (4) Indirect Costs (overhead)
- Total

\* If the Recipient's application has more than one output or program, each output/program should be listed separately. Ordinarily, each instrument supports only one output/objective.

Each Object Class Category (cost element) listed in Block 6 of the SF424A has a notation next to it which indicates the budget cost element into which it will normally fall. (For example: Personnel (1) - shows Object Class Category 6a. Personnel would be in the "Program" cost element.)

NOTE: The Procurement cost element includes anything the Recipient has to contract out for such as consultant services, subcontracts (NOT subgrants), supplies, equipment, evaluation costs that are subcontracted, etc.

The form 424A contains 11 Object Class Categories, including the Total. Recipient costs proposed for Training and Subgrants must be included in the "Other" Object Class Category. The costs proposed for Training and Subgrants must be itemized in the budget notes explanation of the Object Class Categories so that Training may be included in Line Item 2 of the award and subgrants may be included in Line Item 1.

(7) **Partners/Subgrantees:** Costs must be separated into those assigned to the applicant organization and those for the partner organization which will be shown as a subgrant for purposes of this Cooperative Agreement.

**PLEASE NOTE: FORMS CAN BE DOWNLOADED FROM  
USAID'S HOME PAGE AS FOLLOWS:**

[http://www.info.usaid.gov/procurement\\_bus\\_opp/procurement/forms/](http://www.info.usaid.gov/procurement_bus_opp/procurement/forms/)

*These and other CDIE TIPS may also be downloaded from  
the USAID website as follows:*

<http://www.info.usaid.gov>, click on "Publications", then "USAID Evaluation Publications", then "CDIE Presentation Monitoring and Evaluation TIPS", lastly "Selecting Performance Indicators" and "Guidelines for Indicator and Data Quality". (You will need acrobat reader to download the document.)

*PVC's Results Report may be downloaded from PVC's homepage  
located on the USAID website.*

[http://www.info.usaid.gov/hum\\_response](http://www.info.usaid.gov/hum_response)



# ATTACHMENT B

## USAID Standard Form 424

OMB Approval No. 0348-0043

### APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION:		2. DATE SUBMITTED		Applicant Identifier	
				NA	
Application		Pre-application NA		3. DATE RECEIVED BY STATE	
____ Construction		____ Construction		NA	
__X__ Non-Construction		____ Non-Construction		4. DATE RECEIVED BY FEDERAL AGENCY	
				Federal Identifier	
				NA	
5. APPLICATION INFORMATION					
Legal Name:			ORGANIZATIONAL UNIT		
Address (give only county, state, and zip code):			Name and telephone number of person to be contacted on matters involving this application (give area code)		
6. EMPLOYER IDENTIFICATION NUMBER (EIN):			7. TYPE OF APPLICATION: (enter appropriate letter in box) ..... M		
8. TYPE OF APPLICATION			A. State H. Independent School Dist.		
__X__ New ____ Continuation ____ Revision			B. County I. State Controlled Institution of Higher Learning		
If Revision, enter appropriate letter(s) in box(es).....			C. Municipal J. Indian Tribe		
A. Increase Award D. Decrease Duration			D. Township K. Individual		
B. Decrease Award E. Other (specify):			E. Interstate L. Profit Organization		
C. Increase Duration			F. Inter-municipal M. Other (specify)		
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:			9. NAME OF FEDERAL AGENCY		
NA			USAID/BHR/PVC		
TITLE:			11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT:		
12. AREAS AFFECTED (Cities, Counties, States, etc.):					
13. PROPOSED PROJECT		14. CONGRESSIONAL DISTRICTS OF:			
START DATE	END DATE	a. Applicant		b. Project	
		NA		NA	
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?			
a. Federal	\$	a. YES. THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS REVIEW ON:			
b. Applicant	\$	DATE			
c. State	\$ NA	B. NO. __X__ PROGRAM IS NOT COVERED BY E.O. 12372			
d. Local	\$ NA	__X__ OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW			
e. Other	\$				
f. Program Income	\$				
g. TOTAL	\$				
17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? ____ Yes If "Yes", attach an explanation ____ No					
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.					
a. Type Name of Authorized Representative			b. Title		c. Telephone Number
d. Signature of Authorized Representative			e. Date Signed		

**ATTACHMENT B**  
**INSTRUCTIONS FOR THE SF 424**

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Public reporting burden for this collection of information is estimated to average 45 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget. Paperwork Reduction Project (0348-0043), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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This is a standard form used by applicants as a required face-sheet for pre-applications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established a review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry:   | Item: | Entry:  |
|-------|--|-------|---|
| 1.    | Self-explanatory.  | 9.    | Name of Federal agency from which assistance is being requested with this application.  |
| 2.    | Date application submitted to Federal agency (or State if applicable) & applicant's control number (if applicable).  | 10.   | Use the Catalog of Federal Domestic Assistance number and title of the program under which assistance is requested.   |
| 3.    | State use only (if applicable).  | 11.   | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For pre-applications, use a separate sheet to provide a summary description of this project.  |
| 4.    | If this application is to continue or revise an existing award, enter present Federal identifier number. If for a new project, leave blank.  | 12.   | List only the largest political entities affected (e.g., State, counties, cities).  |
| 5.    | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and the name and telephone number of the person to contact on matters related to this application.   | 13.   | Self-explanatory.   |
| 6.    | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.  | 14.   | List the applicant's Congressional District and any District(s) affected by the program or project.   |
| 7.    | Enter the appropriate letter in the space provided.  | 15.   | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 8.    | Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br><br>- "New" means a new assistance award.<br><br>- "Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br><br>- "Revision" means any change in the Federal Government's financial obligation or contingent liability from an existing obligation. |       |   |

## **INSTRUCTIONS FOR THE SF 424 (continued)**

16. Applications should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State inter-government review process.
17. This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances loans and taxes.
18. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)

## ATTACHMENT B

**Standard Form 424A**  
**Budget Information - Non-Construction Programs**

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity {a}	Catalog of Federal Domestic Assistance Number {b}	Estimated Unobligated Funds		New or Revised Budget		
		Federal {c}	Non-Federal {d}	Federal {e}	Non-Federal {f}	Total {g}
1. Headquarters	\$ NA	\$ NA	\$ NA	\$	\$	\$
2. Field	NA	NA	NA			
3. NA	NA	NA	NA	NA	NA	NA
4. NA	NA	NA	NA	NA	NA	NA
5.TOTALS	\$ NA	\$ NA	\$ NA	\$	\$	\$
<b>SECTION B - BUDGET CATEGORIES</b>						
6. Object Class Categories	USAID FUNDS		RECIPIENT FUNDS		Total {h}	
	(1) Federal	(2) Non-Federal	{3}	{4}		
a. Personnel (1)	\$	\$	\$ NA	\$ NA	\$	
b. Fringe Benefits (1)			NA	NA		
c. Travel (1)			NA	NA		
d. Equipment (3)			NA	NA		
e. Supplies (3)			NA	NA		
f. Contractual (3)			NA	NA		
g. Construction N/A			NA	NA		
h. Other (1), (2) (see notes)			NA	NA		
i. Total Direct Charges (sum of 6a-6h)			NA	NA		
j. Indirect Charges (4)			NA	NA		
k. TOTALS (sum of 6i and 6j)	\$	\$	\$	\$	\$	
7. Program Income	\$	\$	\$	\$	\$	



### STANDARD FORM 424A (cont'd)

SECTION C - NON-FEDERAL RESOURCES						
(a) Grant Program		(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. Headquarters		\$	\$ NA	\$	\$	
9. Field			NA			
10. NA		NA	NA	NA		
11. NA		NA	NA	NA		
12. TOTAL (sum of lines 8-11)		\$	\$ NA	\$	\$	
SECTION D - FORECASTED CASH NEEDS						
13. Federal		Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th quarter
		\$	\$	\$	\$	\$
14. Non-Federal						
15. TOTAL (sum of lines 13 and 14)						
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT						
(a) Grant Program		Future Funding Periods				
		(b) First	(c) Second	(d) Third	(e) Fourth	
16. Headquarters		\$	\$	\$	\$	
17. Field						
18. NA		NA	NA	NA	NA	
19. NA		NA	NA	NA	NA	
20. TOTAL (sum of lines 16-19)		\$	\$	\$	\$	
SECTION F - OTHER BUDGET INFORMATION						
21. Direct Charges:		22. Indirect Charges:				
23. Remarks:						

**ATTACHMENT B**  
**Standard Form 424A (cont'd.)**

**INSTRUCTIONS FOR THE SF 424A**

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Public reporting burden for this collection of information is estimated to average 180 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0044), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET, SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

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**General Instructions**

This form is designed so that application can be made for funds from one or more grant programs. In preparing the budget, adhere to any existing Federal grantor agency guidelines which prescribe how and whether budgeted amounts should be separately shown for different functions or activities within the program. For some programs, grantor agencies may require budgets to be separately shown by function or activity. For other programs, grantor agencies may require a breakdown by function or activity. Sections A, B, C and D should include budget estimates for the whole project except when applying for assistance which requires Federal authorization in annual or other funding period increments. In the latter case, Section A, B, C and D should provide the budget for the first budget period (usually a year) and Section E should present the need for Federal assistance in the subsequent budget periods. All applications should contain a breakdown by the object class categories shown in Lines a-k of Section B.

**Section A. Budget Summary Lines 1-4 Columns (a) and (b)**

For applications pertaining to a *single* Federal grant program (Federal Domestic Assistance Catalog number) and *not requiring* a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a *single* program *requiring* budget amounts by multiple functions or activities, enter the name of each activity or function on each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in *Column (a)* and the respective catalog number on each line in Column (b).

For applications pertaining to *multiple* programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring

the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

**Lines 1-4, Columns (c) through (g)**

*For new applications*, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project for the first funding period (usually a year).

*For continuing grant program applications*, submit these forms before the end of each funding period as required by the grantor agency. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the grant funding period only if the Federal grantor agency instructions provide for this. Otherwise, leave these columns blank. Enter in columns (e) and (f) the amounts of funds needed for the upcoming period. The amount(s) in Column (g) should be the sum of amounts in Columns (e) and (f).

*For supplemental grants and changes* to existing grants, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of the increase of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of amounts in Columns (e) and (f).

**Line 5 - Show the totals for all columns used.**

## Standard Form 424A (cont'd.)

### INSTRUCTIONS FOR THE SF 424A (continued)

#### Section B. Budget Categories

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets are prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

**Lines 6a-i** - Show the totals of Lines 6a to 6h in each column.

**Line 6j** - Show the amount of indirect cost.

**Line 6k** - Enter the total of amounts on Lines 6i and 6j. For all applications for new grants and continuation grants the total amount in column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental grants and changes to grants, the total amount of the increase or decrease as shown in Columns (1)-(4), Line 6k should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5.

**Line 7** - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the federal grantor agency in determining the total amount of the grant.

#### Section C. Non-Federal Resources

**Lines 8-11** - Enter amounts of non-Federal resources that will be used on the grant. If in-kind contributions are included, provide a brief explanation on a separate sheet.

**Column (a)** - Enter the program titles identical to Column (a), Section A. A breakdown by function or activity is not necessary.

**Column (b)** - Enter the contribution to be made by the applicant.

**Column (c)** - Enter the amount of the State's cash and in-kind contribution if the applicant is not a State or State agency. Applicants which are a State or State agencies should leave this column blank.

**Column (d)** - Enter the amount of cash and in-kind contributions to be made from all other sources.

**Column (e)** - Enter totals of Columns (b), (c), and (d).

**Line 12** - Enter the total for each of Columns (b)-(e). The amount in Column (e) should be equal to the amount on Line 5, Column (f) Section A.

#### Section D. Forecasted Cash Needs

**Line 13** - Enter the amount of cash needed by quarter from the grantor agency during the first year.

**Line 14** - Enter the amount of cash from all other sources needed by quarter during the first year.

**Line 15** - Enter the totals of amounts on Lines 13 and 14.

#### Section E. Budget Estimates of Federal Funds Needed for Balance of the Project

**Lines 16-19** - Enter in Column (a) the same grant program titles shown in Column (a), Section A. A breakdown by function or activity is not necessary. For new applications and continuation grant applications, enter in the proper columns amounts of Federal funds which will be needed to complete the program or project over the succeeding funding periods (usually in years). This section need not be completed for revisions (amendments, changes, or supplements) to funds for the current year of existing grants.

If more than four lines are needed to list the program titles, submit additional schedules as necessary.

**Line 20** - Enter the total for each of the Columns (b)-(e). When additional schedules are prepared for this Section, annotate accordingly and show the overall totals on this line.

#### Section F. Other Budget Information

**Line 21** - Use this space to explain amounts for individual direct object-class cost categories that may appear to be out of the ordinary or to explain the details as required by Federal grantor agency.

**Line 22** - Enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period, the estimated amount of the base to which the rate is applied, and the total indirect expense.

**Line 23** - Provide any other explanations or comments deemed necessary.



## ATTACHMENT C

### U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT

#### ***CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF APPLICANT/GRANTEE***<sup>1 2</sup>

##### **1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

(a) The applicant/grantee hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the applicant/grantee is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the applicant/grantee establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the applicant/grantee by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The applicant/grantee recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the applicant/grantee, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the applicant/grantee.

##### **2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS**

###### **(a) Instructions for Certification**

(1) By signing and/or submitting this application or grant, the applicant/grantee is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the applicant/grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For applicants/grantees other than individuals, Alternate I applies.

(4) For applicants/grantees who are individuals, Alternate II applies.

###### **(b) Certification Regarding Drug-Free Workplace Requirements**

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<sup>1</sup> FORMATS/GRNTCERT: Rev. 04/04/95 (TM 13:63/TM 1B:90/CIB95-11).

<sup>2</sup> When these Certifications, Assurances, and Other Statements of Applicant/Grantee are used for cooperative agreements, the following terms apply: "Grantee" means "Recipient," "Grant" means "Cooperative Agreement," and "Grant Officer" means "Agreement Officer."

Alternate I

(1) The applicant/grantee certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The applicant's/grantee's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
  2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;
- (E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or
2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The applicant/grantee shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

**Place of Performance (Street address, city, county, state, zip code)**

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Alternate II

The applicant/grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

3. **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS**<sup>3</sup>

(a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

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<sup>3</sup> The applicant/grantee must obtain from each identified subgrantee and (sub) contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The application/grantee should reproduce additional copies as necessary.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549.<sup>4</sup> You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction,"<sup>5</sup> provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a System of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

4. **CERTIFICATION REGARDING LOBBYING**

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

<sup>4</sup> See Chapter 3 of USAID Handbook 13, 22 CFR 208.

<sup>5</sup> For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the applicant/grantee is a U.S. non-governmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the applicant/grantee is a non-U.S. non-governmental organization.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

5. **AGREEMENT ON GRANT TERMS AND CONDITIONS**

The applicant/grantee certifies that it has reviewed and is familiar with the proposed grant format and the standard provisions applicable thereto, and that it agrees to comply with all such terms and conditions, except as noted below (use a continuation page as necessary):

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Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Applicant/Grantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary  
Exclusion Lower Tier Covered Transactions**

(a) Instruction for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. <sup>1/</sup> you may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier covered Transaction," <sup>2/</sup> without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List.
8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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<sup>1/</sup> See Chapter 3 of USAID Handbook 13, 22 CFR 208.

<sup>2/</sup> For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. non-governmental organizations entitled "Debarment, Suspension, and Related Matters" (See Appendix 4C of USAID Handbook 13), or in the USAID grant standard provision for non-U.S. non-governmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (See Appendix 4D of USAID Handbook 13).

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion—Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Applicant/Subgrantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

**ATTACHMENT D**

**(RECIPIENT CERTIFICATE OF COMPLIANCE)**

**LETTERHEAD**

Date

To: Contracting Officer  
M/OP/PS/OCC  
USAID, Room 7.08-061  
Washington, DC 20523

I, (Name Printed or Typed), (Title), as a legally authorized representative of (Organization Name) do hereby certify that, to the best of my knowledge and belief, this organization's management and other employees responsible for their implementation are aware of the requirements placed on the organization by OMB Circulars, and Federal and USAID regulations with respect to the management of, among other things, personnel policies (including salaries), travel and procurement under this agreement and I further certify that the organization is in compliance with those requirements.

I, we, understand that a false, or intentionally misleading, certification could be the cause for possible action ranging from being found not responsible for this award to suspension or debarment of this organization in accordance with the provisions of USAID Regulation 8.

I, we, further agree to instruct the accounting firm that this organization retains to perform its annual audits, as required by OMB Circular A-133, to include in their review of our internal controls sufficient testing of the implementation of our personnel, travel and procurement policies to confirm compliance with Federal and USAID requirements. The conclusions of that compliance review will be included in the A-133 audit reports submitted to the government.

I declare under penalty of perjury that the foregoing is true and correct.

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Type or Print Name

\_\_\_\_\_  
Position Title

\_\_\_\_\_  
Date of Execution

## ATTACHMENT E

### ***SUSTAINABILITY METHODOLOGY FOR MICROENTERPRISE PROJECTS***

For programs that include a microenterprise development component, describe the following elements of the activity. (Include as Attachment G in application submission.)

#### ***GENERAL INFORMATION***

- Program methodology, i.e., solidarity groups, village banks, or individual loans; client selection and loan approval process; collection system.
- Administrative and financial information and control systems.
- Strategy for marketing/advertising the program to potential clients (include discussion of demand analysis and market penetration surveys).
- Assumption and features of the business plan (aspects of reaching scale, accessing capital, improving cost efficiency).

#### ***COUNTRY-SPECIFIC INFORMATION***

(To be included in Country Program selection of application – Questions D.17 to D.27.)

- Projected growth in the loan portfolio over the life of the program.
- Average loan term (include nominal and effective interest rates).
- Average loan size.
- Repayment schedule/process.
- Actual and/or anticipated delinquency rate.
- Client to staff ratio.
- Current client breakdown by gender (% male/% female) and projected client breakdown by gender at program's end.
- Financial sustainability – indicate current cost-recovery rate and projected level of financial sustainability at the end of the program. (Include definition of what costs are covered at what levels of operation.)